



#7

PATENT  
0033-0638P

## IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicant: T. UEDA, et al. Conf.: 2755  
Appl. No.: 09/492,154 Group: 2153  
Filed: January 27, 2000 Examiner: KEVIN PARTON  
For: METHOD AND APPARATUS OF DATA TRANSFER  
CONTROLLING DATA TRANSFER AMONG A  
PLURALITY OF EQUIPMENTS CONNECTED TO A  
NETWORK AND MEDIUM RECORDING THE  
PROGRAM THEREOF

RECEIVED

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Technology Center 2100

INFORMATION DISCLOSURE STATEMENT  
(SUBMISSION AFTER FILING OF AN APPLICATION  
BUT BEFORE FINAL REJECTION OR NOTICE OF ALLOWANCE  
OR CONCURRENTLY WITH A RULE 53(d) CPA APPLICATION  
OR WITH A RULE 1.114 RCE APPLICATION)

Assistant Commissioner for Patents  
Washington, DC 20231

November 21, 2002

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-1449(s), attached hereto.

II. COPIES (check at least one box)

- a. ☒ Submitted herewith is a legible copy of (i) each U.S. and foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.
- b. ☐ Some or all of the documents listed on the PTO-1449 are not enclosed because they were cited in the International Search Report and copies should already be in the PTO file. If copies are needed, please contact the undersigned.

III. CONCISE EXPLANATION OF THE RELEVANCE  
(check at least one box)

a. ☒ **DOCUMENTS IN THE ENGLISH LANGUAGE**

The attached patents, publications, or other information in the English language do not require a statement of relevancy.

b. ☒ **DOCUMENTS NOT IN THE ENGLISH LANGUAGE**

A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows:

An English language translation of the Foreign Office Action and English language Abstracts are attached.

c. ☐ **ENGLISH LANGUAGE SEARCH REPORT**

An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(A)(3).

d. ☐ **OTHER**

The following additional information is provided for the Examiner's consideration.

FEES

IV. ☐ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b):  
(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b)(1)). No fee or statement is required. (This section is not to be used with RCE's and CPA's).
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b)(2)). No fee or statement is required.
- c. ☐ concurrently with the filing of a Continued Prosecution Application under 37 C.F.R. § 1.53(d) or concurrently with the filing of a Request for Continued Examination under § 1.114 (37 C.F.R. § 1.97(b)(4)). No fee or statement is required.
- d. ☐ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b)(3)). No fee or statement is required.  
In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the statement under 37 C.F.R. § 1.97(e) below, or, if no statement has been made, charge our deposit account in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).

V. ☒ THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):  
(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c)(1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c)(2)).

- a. ☐ No statement; therefore, a fee in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p).
- or
- b. ☒ See the statement below. No fee is required.

VI. STATEMENT UNDER 37 C.F.R. § 1.97(e) (check only one box)

The undersigned hereby states that

- a. ☒ each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.
- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

VII. PAYMENT OF FEES (check one box)

- ☐ A check in the amount of \$180.00 as required by 37 C.F.R. § 1.17(p) is enclosed for the above-identified fee.
- ☐ Please charge Deposit Account No. 02-2448 in the amount required by 37 C.F.R. § 1.17(p) for the above-indicated fee. A triplicate copy of this paper is attached.
- ☒ No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Respectfully submitted,

BIRCH, STEWART, KOLASCH & BIRCH, LLP

By   
Charles Gorenstein, #29,271

*CMV*  
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Enclosures: ☒ PTO-1449  
☒ Documents  
☐ Foreign Search Report  
☐ Fee  
☒ Other: Foreign Office Action

(Rev. 10/31/01)

Mailed: October 22, 2002

NOTICE OF GROUND OF REJECTION

Patent Application No. H11-018197

Patent Office Examiner: Shinji KAKUTA

To Attorney, Mr. Hisao Fukami:

The present application shall be recognized to be rejected on the ground as follows. It is required that the remarks, if any, be submitted within sixty days from the date on which the present NOTICE was mailed.

GROUND

It is recognized that, because the invention described in Claims of SCOPE OF CLAIMS FOR PATENT of the present application could have been invented readily by a person having ordinary knowledge in the field of the art to which the present invention pertains prior to the filing of the present application based on the invention as described in the following publications distributed in Japan and/or foreign countries prior to the filing of the present application, a patent cannot be granted thereto under the provision of Paragraph 2 of Article 29 of the Patent Law.

Remarks

(As to the cited References,  
see appended List of Cited References

Claims: 1-6, 8-13

Reference: 1

Note:

There is no particular difference found between the invention according to claims 1-6 and 8-13 of the present application as compared with the invention described in Reference 1.

Claim: 7

Reference: 1

Note:

Considering that the command set is determined in accordance with the protocol, it would have been easy for a person skilled in the art to assume a command set as a protocol in a configuration in which an appropriate one is selected among a plurality of protocols described in Reference 1.

List of Cited References

1. Japanese Patent Laying-Open No. 11-17738

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RECORD OF SEARCH FOR PRIOR ART DOCUMENTS

· SEARCHED TECHNICAL FIELD

IPC SEVENTH EDITION H04L 29/06  
H04L 12/56  
H04L 12/28

· PRIOR ART DOCUMENTS

Japanese Patent Laying-Open No. 05-108512  
Japanese Patent Laying-Open No. 01-228243  
Japanese Patent Laying-Open No. 09-284567  
Japanese Patent Laying-Open No. 05-153185  
Japanese Patent Laying-Open No. 05-176010

This record of search for prior art documents does not  
form any ground of rejection.